




2023 FINRA Senior Investor Protection Conference

March 27, 2023 | Washington, DC | Hybrid Event

The Senior Investor Protection Conference is a one-day event dedicated to sharing the most up-to-date regulatory information, effective strategies and solutions for protecting senior and vulnerable investors from exploitation, scams, and other questionable practices. This conference includes discussions of the rules on financial exploitation of specified adults, a regulatory roundtable, information about trends, scams and schemes, and more. The conference also offers opportunities to network and discuss issues specific to senior investors with FINRA staff and industry practitioners.

Agenda

All times are listed in Eastern Time. All sessions are being recorded. 

Monday, March 27, 2023	
8:30 a.m. – 4:30 p.m.	Registration
8:30 a.m. – 9:45 a.m.	Networking Breakfast
9:45 a.m. – 10:40 a.m.	<p>► Welcome Remarks and the Impact of the Aging Brain on Financial Decisions</p> <p>Join panelists as they discuss research exploring the neurological effects of aging on financial decision-making and financial capacity, as well as ways to guard against exploitation of senior investors.</p> <p>Welcome: William (Bill) St. Louis, FINRA, Member Supervision</p> <p>Moderator: Gary Mottola, FINRA, FINRA Foundation</p> <p>Panelists: Olivia S. Mitchell, The Wharton School, University of Pennsylvania Peter Lichtenberg, Wayne State University Christopher Stewart, Indiana University</p>
10:40 a.m.– 11:00 a.m.	Networking Break
11:00 a.m.– 11:40 a.m.	<p>► Overview of Rules on Financial Exploitation of Specified Adults</p> <p>Panelists discuss the evolving regulatory rules designed to protect investors from financial exploitation, including rules regarding customer account information, trusted contact information, Regulation Best Interest and more. Panelists also discuss recent FINRA Regulatory Notices and the 2023 Exam and Risk Monitoring Report as they relate to senior investor protection.</p> <p>Moderator: James (Jim) Wrona, FINRA, Office of General Counsel</p> <p>Panelists: Michael (Mike) Duff, Edward Jones Thomas (Tom) Mierswa, Morgan Stanley Jennifer Szaro, XML Securities, LLC</p>
11:40 a.m.– 12:00 p.m.	Networking Break
12:00 p.m.– 12:45 p.m.	<p>► Roundtable on Senior Issues and Collaborating with Other Agencies</p> <p>During this session, panelists discuss their work related to senior and at-risk investors, including the importance of reporting and how FINRA and other agencies work together on behalf of investors.</p> <p>Moderator: Michael (Mike) Paskin, FINRA, Member Supervision</p> <p>Panelists: Lois Greisman, Federal Trade Commission (FTC) Rebecca Keithley, Federal Bureau of Investigation (FBI) Richard (Rich) Szuch, North American Securities Administrators Association (NASAA)</p>

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12:45 p.m. – 2:00 p.m.	<p>► Networking Lunch With FINRA's Vulnerable Adults & Seniors Team</p> <p>Join us for a networking lunch with the Vulnerable Adults & Seniors Team (VAST). Meet and connect with FINRA staff whose mission is to protect seniors and vulnerable adults from financial exploitation by proactively identifying and mitigating fraud and abuse perpetrated by bad actors. VAST also manages and operates the Senior Helpline.</p>
2:00 p.m. – 2:30 p.m.	<p>► Succession Planning</p> <p>Join panelists for a discussion of effective practices and strategies for starting the succession planning process. Panelists discuss the importance of planning ahead for emergencies and unexpected life events, and how having a succession plan in place can benefit firms and investors alike. Special attention will be paid to discussing FINRA's recent Regulatory Notice 22-23 on succession planning, including a discussion of the benefits and types of succession plans.</p> <p>Moderator: Alicia Goldin, FINRA, Office of General Counsel</p> <p>Panelists: Dori Hammond, FSC Securities Corporation Trinity Lee, Heim, Young & Associates</p>
2:30 p.m. – 2:45 p.m.	Break
2:45 p.m. – 3:30 p.m.	<p>► Trends, Scams and Schemes Impacting Seniors</p> <p>Each year brings new scams and schemes directed at seniors, and such trends are on the rise. During this session, panelists highlight emerging trends in investor scams aimed at senior and at-risk investors and discuss what to do if a fraudulent scheme is suspected. FINRA's Vulnerable Adults & Seniors Team (VAST) will use real-world examples to highlight areas of concern.</p> <p>Moderator: Brooks Brown, FINRA, Member Supervision</p> <p>Panelists: Amy Nofziger, AARP Fraud Watch Network Mayur Patel, FINRA, Member Supervision Elizabeth Yoka, FINRA, Member Supervision</p>
3:30 p.m. – 3:45 p.m.	Break



CONTINUING EDUCATION (CE) CREDITS

The Senior Investor Protection Conference qualifies for Certified Regulatory and Compliance Professional (CRCP®) Continuing Education (CE) Credits—plus receive a Continuing Legal Education (CLE) CE voucher.

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3:45 p.m. – 4:30 p.m.	▶ Detecting and Surveilling Scams Targeting Senior Investors
	<p>Now that we have learned about the types of scams and schemes out there, panelists discuss how to identify potential “red flags,” how firms can detect and surveil for fraudulent schemes and how to protect investors.</p> <p>Moderator: Brooke Hickman, FINRA, Member Supervision</p> <p>Panelists: Paige Pierce, Bley Investment Group, Inc. Eli Renshaw, FINRA, Member Supervision Joel H. Sauer, Charles Schwab & Co., Inc.</p>
4:30 p.m.	Conference Adjourns

INFORMATION AND RESOURCE TABLES

Organizations that specialize in protecting seniors will be on site with Information and Resource tables. Stop by these tables inside the Gallery Ballroom for informal conversations and information gathering.

Organizations in attendance include:

- Consumer Financial Protection Bureau (CFPB)
- FINRA Vulnerable Adults & Seniors Team (VAST)
- National Adult Protective Services Association (NAPSA)
- U.S. Securities and Exchange Commission (SEC)

How to Register

To register, visit www.finra.org/senior23 and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (800) 321-6273 or send an email to conreg@finra.org.

Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

Cancellation Policy

Full refunds for registration fees will be granted to written requests received 14 days or more prior to the start of the conference. Refunds will not be granted after March 13, 2023.

Fees

In Person—Individual	
FINRA Member Small Firm must provide valid CRD #	\$495
FINRA Member Firm must provide valid CRD #	\$945
Non-Member	\$1,325
Government / Regulator	\$670

In Person—Group* (Per Person)	
FINRA Member Small Firm must provide valid CRD #	\$370
FINRA Member Firm must provide valid CRD #	\$800
Non-Member	\$1,130

Virtual Attendee	
FINRA Member must provide valid CRD #	\$250
FINRA Member (Group) must provide valid CRD #	\$100
Non-Member	\$350
Non-Member (Group)	\$250
Government / Regulator	\$250

*Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in registration system.

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273.

Hotel Information

Hotel Accommodations

A room block is available at the Conference hotel at the special room rate of \$389 per night, plus tax. The rate is available until Monday, March 6, 2023, or until the room block is sold out.

Room Reservation Process for FINRA Programs

To reserve a room at the conference hotel, you must first register as an attendee for the conference. A hotel reservation link will then be provided in your registration summary page and your registration confirmation email. Please [contact us](#) with any additional questions.

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to the receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference dates and/or location become necessary. **Please note** that hotel reservations, cancellations, and charges are the attendee's responsibility.

Speakers as of 02/22/2023

Name	Company
Brooks Brown	FINRA
Michael (Mike) Duff	Edward Jones
Alicia Goldin	FINRA
Lois Greisman	Federal Trade Commission (FTC)
Dori Hammond	FSC Securities Corporation
Brooke Hickman	FINRA
Rebecca Keithley	Federal Bureau of Investigation (FBI)
Trinity Lee	Heim, Young & Associates
Peter Lichtenberg	Wayne State University
Thomas (Tom) Mierswa	Morgan Stanley
Olivia Mitchell	The Wharton School, University of Pennsylvania
Gary Mottola	FINRA
Amy Nofziger	AARP
Michael (Mike) Paskin	FINRA
Mayur Patel	FINRA
Paige Pierce	Bley Investment Group, Inc.
Eli Renshaw	FINRA
Joel Sauer	Charles Schwab & Co., Inc.
Christopher Stewart	Indiana University
William (Bill) St. Louis	FINRA
Jennifer Szaro	XML Securities, LLC
Richard (Rich) Szuch	North American Securities Administrators Association (NASAA)
James (Jim) Wrona	FINRA
Elizabeth Yoka	FINRA